

# APPENDIX G

## Sample Standards and Guidelines

Note: These sample standards and guidelines are numbered according to the corresponding recommendation

# SAMPLE STANDARDS AND GUIDELINES

## *RECOMMENDATION #4*

Probation departments should develop and annually review mission statements with clearly defined goals and objectives.

### *Subject*

Mission/Goals/Objectives

### *Authority*

Probation Committee

### *Purpose*

To provide a direction/path a Probation department intends to follow in carrying out both mandated and discretionary services.

### *Definitions*

- Mission – An overall statement of a Probation department's purpose/function.
- Goals – The intended outcomes of the services/programs provided by a Probation department.
- Objectives – The measurable activities of a Probation department that fulfill the mission and goal statements.

### *Directive*

The Chief Probation Officer in each county will annually review and modify, as appropriate, the departments' mission statement and align the goals and objectives to the mission statement. This review will be carried out at the same time each year, preferably before presenting a proposed budget. This review will solicit the input of those staff in the department whom are charged with the responsibility of meeting the goals and carrying out the stated objectives. The department administrators and managers will consider how these goals and objectives impact other partner agencies and stakeholders and will attempt to design them in a way that enhances agency cooperation.

### *Commentary*

On a yearly basis new legislation is passed, new case law is made and new theories backed by research on crime and delinquency are espoused. As a matter of good agency practice it is important that a department's mission is reviewed on an annual basis in order to stay current with a changing world. Also, as revenue sources change, increase and diminish, and grants from Federal and State sources are made available it impacts the way a department can meet its mission through its goals and objectives. Thus, it is important to review and modify, as may be appropriate, the goals and objectives of a department to take into account these changes and to conform them to the mission statement. These items effectively assist the department in managing its programs but also communicate to its constituents and the public the reason it exists.

### *RECOMMENDATION #5*

Probation departments should incorporate measurable outcomes in developing goals and objectives.

#### *Subject*

Service/Program Outcomes

#### *Authority*

Probation Committee

#### *Purpose*

To provide a measurement by which departments can demonstrate the success of its services/programs.

#### *Definitions*

Outcome – A tangible demonstration of success generally through the increase or decrease of a specific measurable activity.

#### *Directive*

The Chief Probation Officer and those s/he designates will develop outcome measures for each service/program operated by the department. These outcomes will measure, in a tangible way, and demonstrate when collected the effectiveness of the service/program and preferably will express a positive rather than negative outcome. This will enable the agency to make decisions about those services/programs that need to be eliminated, modified, and expanded.

#### *Commentary*

Outcome measures, when developed in a thoughtful and meaningful way, provide an agency with tangible results as to the effectiveness of the departments' services/programs. They demonstrate the departments' success or failure at meeting the goals and objectives established for the department. They help to point department efforts toward modification of a service/program as necessary. They also can focus attention on those services/programs that need to be eliminated because they are not effective at reaching the departments goals and objectives, or those services/programs that might be expanded due to success. Outcomes also provide a clear demonstration to other departments that might benefit from the same service/program, what they might expect if they implemented the program/service.

## *RECOMMENDATION #6*

Probation Departments should develop a common statewide language to facilitate communication, delivery of services, and comparisons across jurisdictions.

### *Subject*

Language

### *Authority*

Probation Committee

### *Purpose*

To provide that oral or written communications regarding matters of Probation operation are universally understood among those who work in the judicial system.

### *Definitions*

Language – Words spoken or written common to persons in the judicial system that allow a uniform understanding of the meaning and reasons for a given action/service/program.

### *Directive*

Probation department personnel will develop and use a language that is free from technical terms, acronyms and other words that do not have a common understanding within the judicial system. When services/programs are describe in writing or spoken about the terms used will be those that have common definitions within the judicial system or in the probation system.

### *Commentary*

In order for the expeditious and orderly discharge of a departments' responsibilities it is critical that there be commonly spoken and written terms within the Probation service. This not only allows for the effective exchange of information between Probation departments, but also the same understanding of the services/programs, operated by the departments, by collateral agencies and the public at large. It provides the mechanism for departments to keep the community informed of its operations. Without a common language the effective implementation of new legislation, case law, strategic plans, services/programs cannot occur.

## *RECOMMENDATION #8*

Probation departments should develop assessment and classification systems and tools as part of an effective case management strategy.

### *Subject*

Assessment/Classification Systems

### *Authority*

Probation Committee

### *Purpose*

To provide tools that will allow Probation departments to effectively manage those whom the department is charged to provide service.

### *Definitions*

- Assessment – An instrument designed to evaluate a clients risks and/or needs that must be taken into consideration when working with the client and/or placing them or referring them to a service/program if successful outcomes are going to be obtained.
- Classification – A tool typically used by a Probation department to efficiently manage the number of clients in the most effective manner within the resources available to the department.

### *Directive*

Each Probation department, within the state, will implement an assessment tool that will evaluate the risks an offender presents to the community and the needs the offender has, that if met will provide a stronger probability of success in establishing and maintaining a mainstream lifestyle. The assessment tool will allow for the effective transfer of the information to partner agencies as well as transfer from county to county.

Each Probation department will establish a classification system that will allow the grouping of offenders in the most expeditious manner to allow for the effective use of department resources.

### *Commentary*

There are a finite amount of resources available for Probation departments to carryout their mission, goals and objectives. In order to effectively use these resources it is incumbent upon the departments to implement strategies that manage the workload in an efficient manner. Assessments allow offenders to be evaluated for the risks they present to the public and the probability of successfully completing a treatment/services plan. These tools point probation officers and institutional staff in the direction of the services/programs that will be needed for an offender and the type of supervision/monitoring necessary for the offender. The assessment lends validity, structure and consistency to a department's recommendation to the courts, referral to partner agencies and the acceptance of the work done by

probation departments by the public at large. It also allows for the allocation of limited resources and when necessary to target the most serious, violent and chronic offenders.

Classification of the offenders permits a department to appropriately assign and allocate resources. It helps to move resources to critical areas and in the larger picture allows a department to plan for its budgetary needs.

## *RECOMMENDATION #9*

Probation departments should establish a graduated continuum of services and sanctions to respond to the needs of each offender.

### *Subject*

Graduated Sanctions

### *Authority*

Probation Committee

### *Purpose*

To provide a number of services within a range of services so as to differentially treat and manage offenders based on the risk and needs the offender presents.

### *Definitions*

- Continuum – A series of programs to assist offenders set out in a sequence that progress from less serious to most serious or from less intrusive to most intrusive.
- Sanctions – A series of interventions designed to hold offenders accountable for their actions and provide a service/program that will assist the offender to conform to socially acceptable behavior.

### *Directive*

Each Probation department, within its financial resources, will develop a continuum of services/programs that allows for prevention, intervention, suppression and incapacitation based on the risk and needs of each offender. The continuum will encourage both public safety, reconciliation and rehabilitation. The sanctions will be designed to target from the lowest level offender to the most serious offender. The sanctions may permit multiple interventions at a level and allow movement up and down the continuum to meet the offender's responses. The sanction needs to help the offender build on his/her strengths rather than their flaws. Sanctions will differentiate based on gender when appropriate.

### *Commentary*

Each offender presents a unique set of challenges. Once assessed for risk and needs it becomes necessary to apply the right set of sanctions to get the optimal outcome in changing the offenders lifestyle to that which will be acceptable to society in general, while at the same time protecting the public from the possible effects of continued offenses by the offender. In order for this to occur, there must be an ability to apply the proper set of sanctions from an array of sanctions that get to the levels of prevention, intervention, suppression and incapacitation necessary for each offender. These services, to be effective, must be tailored to each individual offender. Probation departments need to always be updating sanctions to conform to new theories and research regarding sanctions and expand sanctions when financial resources allow.



### *RECOMMENDATION #10*

Prevention and early intervention efforts in appropriate case should be an essential component of effective and meaningful probation services.

#### *Subject*

Prevention and Intervention

#### *Authority*

Probation Committee

#### *Purpose*

To establish Probation departments have responsibility for providing prevention and intervention services to youth and adults at-risk of unlawful behavior, and those who have exhibited delinquent and unlawful behavior.

#### *Definitions*

- Prevention – The act of keeping a person from becoming involved in unlawful behavior.
- Intervention – The act of interceding into offender's affairs in order to curtail future unlawful behavior.

#### *Directive*

Probation departments will develop services/programs to deal with youngsters and adults whose behavior suggests the person is at-risk of unlawful behavior. Preventive services will be provided when at-risk behavior is identified either by the Probation department's employees or when identified by partner agencies. The services/programs, when appropriate, will provide these services in a gender specific manner.

Intervention services/programs will be made available at the lowest level of a person's entrance into the Probation system in order to curtail as quickly as possible further penetration into the system.

These services/programs will be strength based and designed to keep families intact. The services/programs will be provided as soon as possible after delinquent/unlawful behavior is discovered, and be a graduated response depending on the level of prevention/intervention necessary.

#### *Commentary*

Effective Probation services need to be able to identify and respond to a person's potential unlawful or unlawful behavior at the lowest level. It is common knowledge that it is easier to affect change when a behavior is at its formative stages rather than waiting until it is well integrated into ones behavior. Furthermore, it is financially more efficient to effect change when the lowest level of service can be used. Therefore, it is important Probation departments work providing effective prevention and intervention

services/programs to curtail as much as possible the need for more complex, intrusive and expensive services/programs.

## *RECOMMENDATION #12*

Probation departments should adopt workload standards rather than caseload ratios.

### *Subject*

Workload Standards

### *Authority*

Probation Committee

### *Purpose*

To provide a means of assigning work that assures an equitable distribution of work to Probation department employees so they can provide effective service to those offenders on there caseload.

### *Definitions*

- Caseload – The number of offenders a given employee is assigned to work.
- Workload – The amount of work a given employee has assigned to them.

### *Directive*

The Chief Probation Officer and the administrative/management staff will undertake a study to determine the maximum amount of work can be accomplished by probation officer in a month or other appropriate interval of time. A study will be conducted once every five years to define the various work assignments and the average amount of time it takes a predetermined level of worker to complete the assignments. Calculated into this study will be the amount of hours, on average, an employee works a month taking into account training assignments, leave time and other circumstances that reduce the hours that an employee has available to them to work on assignments. These variables, when factored together, will determine the size of caseload an employee can efficiently and effectively manage. Depending on the amount of change that occurs from outside a department, i.e. new legislative mandates, types of programs initiated and the amount of change in the experience of the workforce, this study may need to be done more frequently.

### *Commentary*

Because of the numerous types of assignments and the varied types of offenders, and the risk and needs the offenders present there is a critical need to develop workload standards so that effective management of offenders can take place given the number of employees available to a Probation department. Without a workload standard, cases are assigned by numbers rather than need and the end result is that offenders may not get the attention they need. An example of the problem can be illustrated by allowing an officers to be assigned a caseload of 100 clients and not taking into account the level of need. One officer could have clients who have committed misdemeanor crimes, come from intact families, are attending school or have a job and another officer have the same number, but the clients have committed felonies, are from dysfunctional families, present psychological issues and fail to attend school or are

unemployable. Even though each officer has an equal number of clients the workload is entirely different. Thus it is far more equitable distribution of work using a workload standard than caseload standard. Having a workload standard also allows for the appropriate prediction of needed employees when making budget proposals. The following factors support workload measures:

- Workload standards ensure employees are not asked to work beyond appropriate work hours;
- Workload standards would provide for non-client activities to be built into an employees work schedule;
- Workload standards would ensure that employees would receive credit for all job-related functions;
- Workload standards would ensure an equal distribution of work for employees;
- Workload standards would provide a management tool for making objective case assignment decisions;
- Workload standards would provide budget justification for needed resources;
- Workload standards would provide more control over a department's direction and planning.

### *RECOMMENDATION # 13*

Probation should work with courts, schools, parents, and education agencies to ensure that adult and juvenile probationers are provided with appropriate general, special, and vocational educational services.

#### *Subject*

Education

#### *Authority*

Probation Committee, Welfare and Institutions Code, and Education Code.

#### *Definitions*

Education Agency – An established center of learning including, schools within governmentally approved school districts which include kindergarten through 12th grade, court schools, continuation schools, private schools (parochial as well as non-denominational) adult schools, technical/vocational training schools and programs.

#### *Directive*

The Chief Probation Officer, using those training programs at his/her disposal and where necessary constituting special training programs, will see to it that probation officers responsible for supervising juvenile and adult probationers are instructed regarding the educational rights/entitlements these probationers can use to benefit their educational progress. This will be done in a method so that probation officers, where necessary, can instruct those probationers or their parents/guardians regarding these rights/entitlements or act as an advocate for the probationer with the education agencies with which the probationer may be involved. Additionally this will include probation officers keeping the courts informed of a probationer's educational problems/plans/accomplishments and recommending appropriate conditions of probation that will effectively support and further an offender's educational pursuits.

#### *Commentary*

There is a very close link that those persons that succeed in and complete school are more apt to be successful at life and less prone to go against the norms of society. Therefore, it follows that a prime focus for probation officers is a probationer's education. Ensuring that a probationer receives the services they are entitled to within the school system is paramount to their success. Probation officers need to be trained in the rights and services a probationer is entitled to in order to properly investigate, report to those that must know, monitor, and advocate on behalf of those on their caseload. All of this is critical whether a probationer is living in the community or confined to an institution.

#### *RECOMMENDATION #14*

Juvenile detention reforms should be developed and implemented to ensure that juveniles are appropriately detained and to reduce overcrowding in detention facilities.

#### *Subject*

Juvenile Detention

#### *Authority*

Probation Committee, and Board of Corrections.

#### *Purpose*

To establish criteria that ensure juveniles are appropriately detained in detention facilities that are not crowded by implementing practices that keep this tenet in place.

#### *Definitions*

- Detention – The status of being confined in a locked juvenile facility until processed by a juvenile court for release into the community or other appropriate program.
- Detention Facility – A place, usually know as a Juvenile Hall, established within a defined geographic area to house juveniles who are awaiting processing through juvenile court.
- Overcrowding – The state of a detention facility where more juveniles are detained than is provided by the rated capacity, the beds available or that programs can manage.
- Rated Capacity – The number of minors who can safely be housed in a juvenile facility based on the rooms, beds and programs available to the juveniles.

#### *Directive*

Each Probation department, through its Chief Probation Officer, will undertake to insure that minors detained in a Probation operated detention facility are appropriately detained. This will be accomplished by the development of an assessment that sets a criteria for the establishing when detention is and is not necessary. Once established the Chief Probation Officer will also implement services/programs that facilitate keeping inappropriate minors out of the detention facility and using services and programs to make sure the there is not a disproportionate race or ethnic group represented in the detained population. Probation departments must develop in a collaborative model with its stakeholders consensus regarding the purpose of detention, a risk based detention criteria for detention decisions, identify barriers to release in order to address these barriers in a constructive method and to make the processing of cases through the system as efficient and effective as possible. Standards as set forth by the Board of Corrections will be adhered to so that crowding does not occur and minors detained are offered all the services and programs they are entitled to during their period of confinement.

### *Commentary*

It is often said “out of sight out of mind.” This cannot happen when it comes to those juveniles detained, waiting to be processed by the juvenile court. Detention in a juvenile detention facility can have long lasting effects on a minor and must be approached with care in order to ensure a child is not injured by the experience. Therefore, it is important that constant vigilance be maintained over juvenile detention facilities to ensure they are properly managed and conform to acceptable standards and correctional theories. To do this there must be the concerted efforts of the community and partner agencies to oversee that only those that absolutely need detention are held in these facilities. There needs to be close vigilance that when one race and/or ethnic group is over represented in the facility steps are taken to study and provide services/programs that will discontinue this practice. Furthermore, to protect and make sure that those in detention have a positive experience it is necessary they are offered the services and programs they are entitled to by law or administrative code.

### *RECOMMENDATION #15*

Probation departments should consider an approach to probation that balances offender accountability, victim restoration, competency development and community collaboration.

#### *Subject*

Integrated Services

#### *Authority*

Probation Committee

#### *Purpose*

To establish a balanced approach to Probation services

#### *Definitions*

- Accountability – The act of being held answerable for acts committed against the community.
- Restoration – The act of returning something to its former state.
- Competency – The development of skills, knowledge and experience.
- Collaboration – The act of working with another, to cooperate in a joint goal.

#### *Directive*

Each Probation department will undertake to use a continuum of sanctions to appropriately hold offenders accountable for his/her acts, restore the loss as nearly as possible for victims of crime, to assist each offender in their quest to develop skills, knowledge and experience in order to succeed in society and to do so in a collaborative method engaging stakeholders in the process.

#### *Commentary*

An integrated and holistic approach to the providing for the public safety and the rehabilitation of the offender is the key to the Probation system succeeding with offenders. Leaving out any of these keys only causes an incomplete effort, one that may fail in the long run. This balance approach will bring the entire community into the ultimate success of the probationer.